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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/512,738	02/24/2000	HongHai Shen	ST9-99-151	5283

23373 7590 08/05/2004  
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WASHINGTON, DC 20037

EXAMINER

CAMPBELL, JOSHUA D

ART UNIT	PAPER NUMBER
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2179

DATE MAILED: 08/05/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/512,738

Applicant(s)

SHEN ET AL.

Examiner

Joshua D Campbell

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 29 April 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-54 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-54 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 4/29/04.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date: \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

### **DETAILED ACTION**

1. This action is responsive to communications: Amendment filed on 10/30/2003.
2. Claims 1-54 are pending in this case. Claims 1, 11, and 21 are independent claims. Claims 40-54 are newly added claims. Claims 1, 9, 11, 19, 21, and 29 have been amended.
3. The rejection of claims 1-4, 7-8, 10-14, 17-18, 20, 21-24, 27-28, and 30-39 under 35 U.S.C. 102(e) as being anticipated by Jamtgaard et al. has been withdrawn in view of amendment.
4. The rejection of claims 5, 15, and 25 under 35 U.S.C. 103(a) as being unpatentable over Jamtgaard et al. in view of Maslov has been withdrawn in view of amendment.
5. The rejection of claims 6, 16, and 26 under 35 U.S.C. 103(a) as being unpatentable over Jamtgaard et al. in view of Tadokoro et al. has been withdrawn in view of amendment.
6. The rejection of claims 9, 19, and 29 under 35 U.S.C. 103(a) as being unpatentable over Jamtgaard et al. in view of Meltzer et al. has been withdrawn in view of amendment.

### ***Claim Rejections - 35 USC § 103***

7. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

8. Claims 1-4, 7-14, 17-24, 27-39, and 40-54 are rejected under 35 U.S.C. 103(a) as being unpatentable over Jamtgaard et al. (hereinafter Jamtgaard, US Patent Number 6,430,624, provisional filed on October 21, 1999) in view of Lipkin (US Patent Number 6,721,747, US filing date of January 14, 2000).

**In regard to independent claim 1**, Jamtgaard teaches a method in which an HTML file is requested via the internet (column 2, lines 40-59 of Jamtgaard), *"...processing a request for a document comprising at least one hypertext markup language (HTML) element"*. Jamtgaard also teaches that the HTML files is parsed and translated into a document object model tree (column 9, lines 48-63 of Jamtgaard), *"...parsing the requested document to generate therefrom a corresponding document object model (DOM) including at least one object"*. Jamtgaard also teaches that transformation instructions are obtained that correspond to a document URL that dictate how to convert the HTML file (beginning with the first object) into relational markup language, and the conversion (transformation) is performed (column 10, line 20-column 11, line 12 of Jamtgaard), *"...obtaining a transformation instruction directed to a first object of the DOM" and "...transforming the first object in accordance with the transformation instruction"*. Jamtgaard also teaches that the converted document is then output to the requesting device by transforming portions of the DOM tree back into complete documents (flattening) called cards (column 14, lines 4-21 of Jamtgaard), *"...flattening the DOM to generate therefrom a corresponding transformed document"*. Jamtgaard does not directly disclose a method in which the transformation of an object

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consists of changing the value of that object. However, Lipkin discloses a method in which a transformation of a DOM object consists of changing the underlying value of that object (column 69, line 1-column 71, line 15 of Lipkin). It would have been obvious to one of ordinary skill in the art at the time the invention was made to have combined the methods of Jamtgaard with method of Lipkin because it would have allowed for a transformation to occur that was transparent to the user.

**In regard to dependent claim 2**, Jamtgaard discloses a method in which transformation instructions are found in XSL files that are associated with the URL of the requested document (column 6, lines 11-53 of Jamtgaard), *"...reading a transformation instruction from a script file corresponding to the requested document"*.

**In regard to dependent claim 3**, Jamtgaard teaches a method in which an HTML file is requested via an internet browser (column 2, lines 40-59 of Jamtgaard), *"...receiving a request for a document from a client program"*. Jamtgaard also discloses a method in which transformation instructions are found in XSL files on the server that are associated with the URL of the requested document (column 6, lines 11-53 of Jamtgaard), *"...identifying a script file within the document server corresponding to the requested document"*.

**In regard to dependent claim 4**, Jamtgaard teaches a method in which an HTML file is requested via an internet browser (column 2, lines 40-59 of Jamtgaard), *"...client program comprises a Web browser"*.

**In regard to dependent claim 7**, Jamtgaard teaches a method in which transformation instructions are found in XSL files that are associated with the URL of

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the requested document (column 6, lines 11-53 of Jamtgaard), “...*the script file and the document comprise logically separate data files*”.

**In regard to dependent claim 8**, Jamtgaard teaches that the converted document is then output to the requesting devices internet browser by transforming portions of the DOM tree back into complete documents (flattening) called cards (column 14, lines 4-21 of Jamtgaard), “...*transmitting the transformed document to a client program*.”

**In regard to dependent claim 9**, Jamtgaard does not disclose the use of database values to be assigned to objects in the DOM tree. However, Lipkin discloses a method in which a value obtained from a database when a DOM tree is being walked in reference to an object request and the result is returned to that object (column 78, line 55-column 80, line 67 of Lipkin), “...*retrieving a value from a database*” and “...*assigning the database value to an object of the DOM*”. It would have been obvious to one of ordinary skill in the art at the time the invention was made to have combined the method of Jamtgaard with the method of database retrieval disclosed by Lipkin because it would have allowed a dynamic page to be finalized in the DOM tree before it was flattened.

**In regard to dependent claim 10**, Jamtgaard teaches that transformation instructions are obtained that correspond to a document URL that dictate how to convert the HTML file (beginning with the first object) into relational markup language, and the conversion (transformation) is performed, replacing the HTML document with the RML

document (column 10, line 20-column 11, line 12 of Jamtgaard), “...replacing a first object of the DOM with a different second object”.

**In regard to dependent claim 31**, Jamtgaard teaches that transformation instructions are obtained that correspond to a document URL that dictate how to convert the HTML file (beginning with the first object, the root or actual HTML file) into relational markup language, and the conversion (transformation) is performed, replacing the HTML document with the RML document (column 10, line 20-column 11, line 12 of Jamtgaard), “...wherein the first object is an HTML file”.

**In regard to dependent claim 34**, Jamtgaard discloses a method in which transformation instructions are found in XSL files on the server that are associated with the URL of the requested document, which includes the first object (column 6, lines 11-53 of Jamtgaard), “...the transformation instruction is read from a script file located separately from the first object”.

**In regard to dependent claim 37**, Jamtgaard teaches that transformation instructions are obtained that correspond to a document URL that dictate how to convert the HTML file (beginning with the first object, the root or actual HTML file) into relational markup language, and the conversion (transformation) is performed, replacing the HTML document with the RML document (column 10, line 20-column 11, line 12 of Jamtgaard), “...the first object is an HTML file”. Jamtgaard discloses a method in which transformation instructions are found in XSL files on the server that are associated with the URL of the requested document (associated the URL which is contained in both documents), which includes the first object (column 6, lines 11-53 of Jamtgaard), “...the

*transformation instruction is read from a script file located separately from the HTML file” and “...the HTML file and the script file contain information to indicate their correspondence to each other”.*

**In regard to dependent claims 40-41,** Jamtgaard does not disclose a method in which the transformed document and original document are in the same format. However, Lipkin discloses a method in which the transformation only occurs on the underlying values of the DOM objects, thus allowing the original document to remain in its format after the transformation, which as disclosed by Lipkin can be HTML, XML, and other languages (column 49, line 36-column 50, line 59 of Lipkin). It would have been obvious to one of ordinary skill in the art at the time the invention was made to have combined the methods of Jamtgaard and Lipkin because it would have allowed for a transformation to occur that was transparent to the user.

**In regard to dependent claim 42,** Jamtgaard does not disclose a method in which the value is changed in accordance with different users. However, Lipkin discloses a method in which data presented to the user may be based on a login or user preferences, thus providing different information to different users (column 84, line 23-column 85, line 19 of Lipkin). It would have been obvious to one of ordinary skill in the art at the time the invention was made to have combined the methods of Jamtgaard with the method of Lipkin because it would have allowed for a higher level of personalization within the presented documents.

**In regard to dependent claims 43-44,** Jamtgaard does not disclose a method in which the value is a variable or that the first object may be empty before it is

transformed. However, Lipkin discloses a method in which objects may be empty until a request to view them is made, at which point the correct values, which can be variables, are then placed into the object (column 69, line 1-column 71, line 15 of Lipkin). It would have been obvious to one of ordinary skill in the art at the time the invention was made to have combined the methods of Jamtgaard with the method of Lipkin because it would have allowed for an easy way to create documents containing personalized information.

**In regard to claims 11-14, 17-20, 32, 35, 38, 21-24, 27-30, 33, 36, 39, and 45-54,** the claims incorporate substantially similar subject matter as claims 1-4, 7-10, 31, 34, 37, and 40-44. Thus, the claims are rejected along the same rationale as claims 1-4, 7-10, 31, 34, 37, and 40-44.

9. Claim 5, 15, and 25, are rejected under 35 U.S.C. 103(a) as being unpatentable over Jamtgaard et al. (hereinafter Jamtgaard, US Patent Number 6,430,624, provisional filed on October 21, 1999) in view of Lipkin (US Patent Number 6,721,747, US filing date of January 14, 2000) as applied to claims 1, 2, 11, 12, 21, and 22 above, and further in view of Maslov (US Patent Number 6,538,673, filed on August 23, 1999).

**In regards to dependent claim 5,** neither Jamtgaard nor Lipkin disclose receiving requests for scripts or identifying documents that correspond to a script. However, Maslov disclosed a method in which a user requests a script file to start the transformation of a document using a DOM tree and based on that script file the content source documents referenced by that script file are loaded (column 6, lines 1-13 of Maslov, "...receiving a request for a script file from client program" and "...identifying a

*document within the document server corresponding to the requested script file". It would have been obvious to one of ordinary skill in the art at the time the invention was made to have combined the methods of Jamtgaard with method of requesting a script of Maslov because it would have allowed a user to reference more than one source document with one script file and have all of them loaded automatically and all necessary transformations performed with only the request of one document.*

**In regard to dependent claims 15 and 25**, the claims incorporate substantially similar subject matter as claim 5. Thus, the claims are rejected along the same rationale as claim 5.

10. Claims 6, 16, and 26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Jamtgaard et al. (hereinafter Jamtgaard, US Patent Number 6,430,624, provisional filed on October 21, 1999) in view of Lipkin (US Patent Number 6,721,747, US filing date of January 14, 2000) as applied to claims 1, 2, 11, 12, 21, and 22 above, and further in view of Tadokoro et al. (hereinafter Tadokoro, US Patent Number 6,463,352, filed on August 25, 1999).

**In regard to dependent claim 6**, neither Jamtgaard nor Lipkin disclose a method in which the script is embedded in the HTML file. However, Tadokoro discloses a method in which scripts can be separate from a file or embedded in an HTML file and function the same either way (column 12, lines 11-63 of Tadokoro), "*...the script file is included within a separate portion of the document*".

**In regard to dependent claims 16 and 26**, the claims incorporate substantially similar subject matter as claim 6. Thus, the claims are rejected along the same rationale as claim 6.

### ***Response to Arguments***

11. Applicant's arguments with respect to claims 1-39 have been considered but are moot in view of the new ground(s) of rejection.

### ***Conclusion***

12. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

US Patent Number 6,643,652

US Patent Number 6,701,485

US Patent Number 6,748,569

13. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not

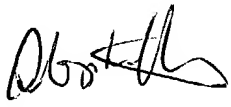
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mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Joshua D Campbell whose telephone number is (703)305-5764. The examiner can normally be reached on M-F (8:00 AM - 4:30 PM).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Heather Herndon can be reached on (703)308-5186. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

  
STEPHEN S. HONG  
PRIMARY EXAMINER

JDC  
July 27, 2004